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PTO/SB/21 (08-00)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|   |    |                        |                   |
|---|----|------------------------|-------------------|
| <b>TRANSMITTAL FORM</b><br>(to be used for all correspondence after initial filing) |    | Application No.        | 09/990,532        |
|   |    | Filing Date            | November 21, 2001 |
|   |    | First Named Inventor   | John Brinkman     |
|   |    | Group Art Unit         | 2152              |
|   |    | Examiner Name          | Unassigned        |
| Total Number of Pages in This Submission  | 13 | Attorney Docket Number | 3992P002          |

| ENCLOSURES (check all that apply)   |  |   |
|---|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><br><input type="checkbox"/> Fee Attached<br><br><input type="checkbox"/> Amendment / Response<br><br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><br><input type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><br><input checked="" type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><br><br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><br><input type="checkbox"/> Drawing(s)<br><br><input type="checkbox"/> Licensing-related Papers<br><br><input type="checkbox"/> Petition<br><br><input type="checkbox"/> Petition to Convert a Provisional Application<br><br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Request for Refund<br><br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group<br><br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br><div style="border: 1px solid black; padding: 5px; margin-top: 10px;">Six Prior Art References<br/><br/><b>RECEIVED</b><br/><br/>APR 24 2002<br/><br/>Technology Center 2100</div> |
| Remarks   |  |   |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |   |
|--|---|
| Firm or Individual name                    | Eric T. King, Reg. No. 44,188<br>BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature                                  |   |
| Date                                       | April 10, 2002  |

| CERTIFICATE OF MAILING/TRANSMISSION   |                 |      |                |
|---|-----------------|------|----------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: April 10, 2002 |                 |      |                |
| Typed or printed name   | Susan McFarlane |      |                |
| Signature   |                 | Date | April 10, 2002 |

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**Complete if Known**

|                      |                   |
|----------------------|-------------------|
| Application Number   | 09/990,532        |
| Filing Date          | November 21, 2001 |
| First Named Inventor | John Brinkman     |
| Examiner Name        | Unassigned        |
| Group/Art Unit       | 2152              |
| Attorney Docket No.  | 3992P002          |

☐ Applicant claims small entity status. See 37 CFR 1.27.**TOTAL AMOUNT OF PAYMENT (\$)****METHOD OF PAYMENT (check one)**☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☐ Deposit AccountDeposit  
Account  
Number

02-2666

Deposit  
Account  
Name

Blakely, Sokoloff, Taylor &amp; Zafman LLP

The Commissioner is authorized to: (check all that apply)

- ☐ Charge fee(s) indicated below ☐ Credit any overpayments
- ☐ Charge any additional fee(s) during the pendency of the application
- ☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 101          | 740      | 201          | 370      | Utility filing fee     |          |
| 106          | 330      | 206          | 165      | Design filing fee      |          |
| 107          | 510      | 207          | 255      | Plant filing fee       |          |
| 108          | 740      | 208          | 370      | Reissue filing fee     |          |
| 114          | 160      | 214          | 80       | Provisional filing fee |          |
| SUBTOTAL (1) |          |              |          |                        | (\$)     |

**2. EXTRA CLAIM FEES**

Total Claims  \* =  X  =

Independent Claims  =  X  =

Multiple Dependent  =  X  =

| Large Entity |          | Small Entity |          | Fee Description   | Fee Paid |
|--------------|----------|--------------|----------|---|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |   |          |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                    |          |
| 102          | 84       | 202          | 42       | Independent claims in excess of 3                         |          |
| 104          | 280      | 204          | 140      | Multiple Dependent claim, if not paid                     |          |
| 109          | 84       | 209          | 42       | **Reissue independent claims over original patent         |          |
| 110          | 18       | 210          | 9        | **Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2) |          |              |          |   | (\$)     |

\*\*or number previously paid, if greater, For Reissues, see below

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**


| Large Entity                       |          | Small Entity |          | Fee Description  | Fee Paid |
|------------------------------------|----------|--------------|----------|--|----------|
| Fee Code                           | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 105                                | 130      | 205          | 65       | Surcharge - late filing fee or oath  |          |
| 127                                | 50       | 227          | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                                | 130      | 139          | 130      | Non-English specification  |          |
| 147                                | 2,520    | 147          | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                                | 920 *    | 112          | 920 *    | Requesting publication of SIR prior to Examiner action                     |          |
| 113                                | 1,840 *  | 113          | 1,840 *  | Requesting publication of SIR after Examiner action                        |          |
| 115                                | 110      | 215          | 55       | Extension for reply within first month                                     |          |
| 116                                | 400      | 216          | 200      | Extension for reply within second month                                    |          |
| 117                                | 920      | 217          | 460      | Extension for reply within third month                                     |          |
| 118                                | 1,440    | 218          | 720      | Extension for reply within fourth month                                    |          |
| 128                                | 1,960    | 228          | 980      | Extension for reply within fifth month                                     |          |
| 119                                | 320      | 219          | 160      | Notice of Appeal   |          |
| 120                                | 320      | 220          | 160      | Filing a brief in support of an appeal                                     |          |
| 121                                | 280      | 221          | 140      | Request for oral hearing   |          |
| 138                                | 1,510    | 138          | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                                | 110      | 240          | 55       | Petition to revive - unavoidable   |          |
| 141                                | 1,280    | 241          | 640      | Petition to revive - unintentional   |          |
| 142                                | 1,280    | 242          | 640      | Utility issue fee (or reissue)   |          |
| 143                                | 460      | 243          | 230      | Design issue fee   |          |
| 144                                | 620      | 244          | 310      | Plant issue fee  |          |
| 122                                | 130      | 122          | 130      | Petitions to the Commissioner  |          |
| 123                                | 50       | 123          | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 126                                | 180      | 126          | 180      | Submission of Information Disclosure Stmt                                  |          |
| 581                                | 40       | 581          | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                                | 740      | 246          | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                                | 740      | 249          | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                                | 740      | 279          | 370      | Request for Continued Examination (RCE)                                    |          |
| 169                                | 900      | 169          | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify)                |          |              |          |  |          |
| * Reduced by Basic Filing Fee Paid |          |              |          |  |          |
| SUBTOTAL (3)                       |          |              |          |  | (\$)     |

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Technology Center 210

**SUBMITTED BY**

|                   |   |                                   |          |           |                |
|-------------------|---|-----------------------------------|----------|-----------|----------------|
| Name (Print/Type) | Eric T. King  | Registration No. (Attorney/Agent) | 44,188   | Telephone | (714) 557-3800 |
| Signature         |  | Date                              | 04/10/02 |           |                |

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APR 22 2002

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Docket No.: 3992P002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

JOHN BRINKMAN, ET AL.

Application No.: 09/990,532

Filed: November 21, 2001

For: **System and Method for Delivering a  
Multimedia Presentation to a User and to  
Allow the User to Play a Musical  
Instrument in Conjunction with the  
Multimedia Presentation**

Art Group: 2152

Examiner: Unassigned

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

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Technology Center 2100

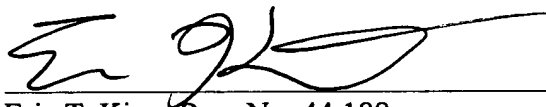
In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



Eric T. King, Reg. No. 44,188

Date: April 10, 2002

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(714) 557-3800

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April 10, 2002.

  
Susan McFarlane

04/10/02

**Date**



|   |                        |  |                |
|---|------------------------|--|----------------|
| Substitute for Form 1449A/PTO (Modified)  |                        | <b>Complete if Known</b>   |                |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br>(use as many sheets as necessary) |                        | Application Number   | 09/990,532     |
|   |                        | Filing Date  | 11/21/02       |
|   |                        | First Named Inventor:  | Brinkman       |
|   |                        | Group Art Unit   | 2152           |
|   |                        | Examiner Name  | Unassigned     |
| Sheet 2 of 2  | Attorney Docket Number | 003992P002   |                |
| <b>OTHER ART AND PATENT LITERATURE DOCUMENTS</b>  |                        |  |                |
| Examiner Initials*  | Cite No <sup>1</sup>   | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published   | T <sup>2</sup> |
|   |                        | TOM SHELDON, Encyclopedia of Networking, Electronic Edition, pgs. 324-329, Osborne/McGraw-Hill, 1998.  |                |
|   |                        | Line 6, Amp Farm, The Guitar Recording Plug-In for TDM-Equipped Pro Tools Systems, <a href="http://www.sigidesign.com/products/prd_overview.cfm?product_id=1001">http://www.sigidesign.com/products/prd_overview.cfm?product_id=1001</a> & <a href="http://a396.g.akamai.net/7/396/1848/7473dc3aa964dc/media.digidesign.com/products/images">http://a396.g.akamai.net/7/396/1848/7473dc3aa964dc/media.digidesign.com/products/images</a> , 2001. |                |
|   |                        | Line 6, Amp Farm, The Guitar Recording Plug-In for TDM-Equipped Pro Tools Systems, <a href="http://www.digidesign.com/products/prd_specs.cfm?product_id=1001">http://www.digidesign.com/products/prd_specs.cfm?product_id=1001</a> , 2001.   |                |
|   |                        | e-commerce - a searchEBusiness definition, E-tailing or The Virtual Storefront and the Virtual Mall, <a href="http://searchebusiness.techtarget.com/sDefinition/0,,sid19_gci212029,00.html">http://searchebusiness.techtarget.com/sDefinition/0,,sid19_gci212029,00.html</a> , 2001.   |                |
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| Examiner Signature | Date Considered |
|--------------------|-----------------|

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<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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